

FIG. 5

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Investigo Corp.	•			
• 10 Most active a	ccounts for <u>All Reps</u> for t	$10~\mathrm{Most}$ active accounts for $\overline{\mathrm{All}~\mathrm{Reps}}$ for the month ending $01/31/2000$	000	
Account Number	Client Name	Account Type	NSS	
W636020323	Diane Glosson	Regular IRA	307-50-4245	
W636019051	Richard Schreiber	Regular IRA	305-38-3491	
317-62-3670	Stanley Gamble	401(k)	317-62-3670	
308-70-8613	Michael Saxman	401(k)	308-70-8613	
385-82-2226	Mark Reilly	401(k)	385-82-2226	
305-60-3130	Lee Humbert	401(k)	305-60-3130	TES,
312-82-2943	Henry Gilbert	401(k)	312-82-2943	
315-72-9043	Kathy Lefever	401(k)	315-72-9043	
60952972D	Stanley D. Garnble	401(k)	317-62-3670	i de esta de la composição
60952996D	Mark L. Reilly	401(k)	385-82-2226	

FIG. 6

File Edit View Feyonies Lools Help Addition Feyonies Lools Help Addition Feyonies Lools Help Addition Feyonies Lools Help Addition Feyonies Lools Addition Feyonies Lools Account Number Citent Name Account Type SSN W632080590 David A. Story Regular IRA 303-52-5412 W632014437 Mr. James E. Lauritsen DVP 43-0497480 60688910 Carolyn E. Hein UGMA 313-13-3668 64747090 Chelsey J. Coughlin UGMA 313-13-3668 Carolyn E. Hein GMA Hein Loop Carolyn E. Hein UGMA Hein Loop Good Help Hein Loop Help Carolyn E. Hein UGMA Help Carolyn E. Hein Loop Carolyn E. Help Carolyn E. Help	Search Edvortes History	## History
Address E https://www.xis.com/investigo/trade_blotters/active_blotters/a	he month ending 10/. Regular IRA 401(k)	History Mail SR&Month=10/31&Yel 可 60 31/2000 SSN SSN 303-52-5412
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0 Most (t Number 80590 19364 14437 10	he month ending 10/. Account Type Regular IRA 401(k)	31/2000 <u>SSN</u> 303-52-5412
0 Most (1) 10 Most	he month ending 10/. Account Type Regular IRA 401(k)	31/2000 <u>SSN</u> 303-52-5412
t NumberClient Name80590David A. Story8054Scott Fergusson19364Jeffrey L. Hinen14437Mr. James E. Lauritsen10Carolyn E. Hein90Chelsey J. Coughlin	Account Type Regular IRA 401(k)	<u>SSN</u> 303-52-5412
80590David A. StoryScott Fergusson19364Jeffrey L. Hinen14437Mr. James E. Lauritsen10Carolyn E. HeinCarolyn E. HeinChelsey J. Coughlin	Regular IRA 401(k)	303-52-5412
Scott Fergusson 19364 Jeffrey L. Hinen 14437 Mr. James E. Lauritsen Carolyn E. Hein Chelsey J. Coughlin	401(k)	
19364 14437 10 90	•	304-96-1037
437	JIWROS	308-82-8501
	DVP	43-0497480
	403(b)	307-46-5353
	UGMA	313-13-3668
64747091 Bray J. Coughlin	UGMA	310-19-2016
FER5 Scott Fergusson	Regular IRA	304-96-1037
W632297842 Keith Edwards	JTWROS	315-52-2906
W636019770 Kim A Lefever	Regular IRA	316-64-4482
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FIG. 7

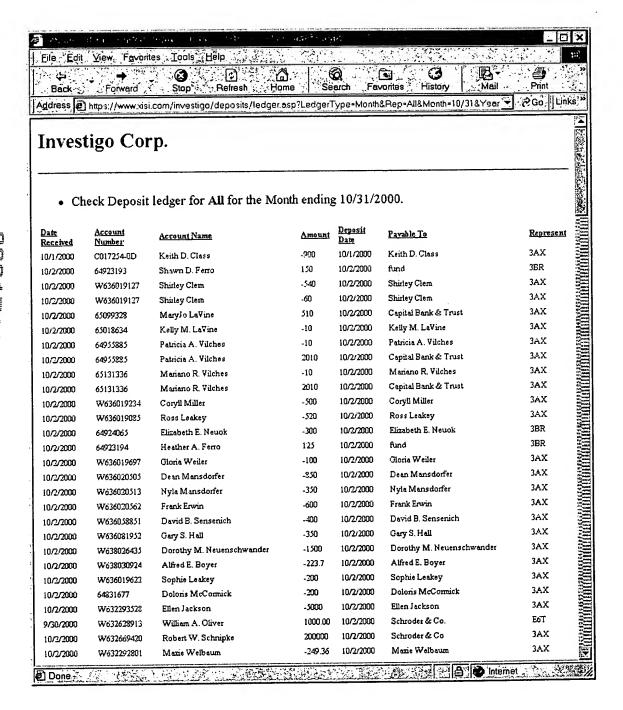
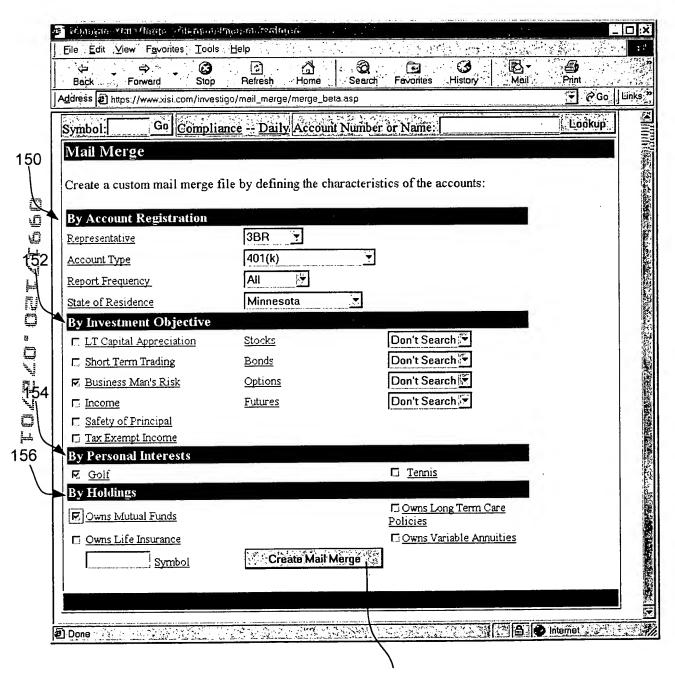


FIG. 8

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Trade Buy Blotter for All for dates 10/1/2000 to 10/31/2000 Settle Date Buy/Settl Account Number Bradett Shares St/INS Buy Prize Buy Cost Buy Cost Buy Cost Buy Cost Buy Prize Buy Cost Buy Cost Buy Prize Buy Cost Buy Cost </th <td>10/2/2000</td> <td>10/5/2000</td> <td>Buy</td> <td>W632297107</td> <td>ΚO</td> <td>0.62</td> <td>Solicited</td> <td>54.937</td> <td>34.22</td> <td></td> <td>0</td>	10/2/2000	10/5/2000	Buy	W632297107	ΚO	0.62	Solicited	54.937	34.22		0
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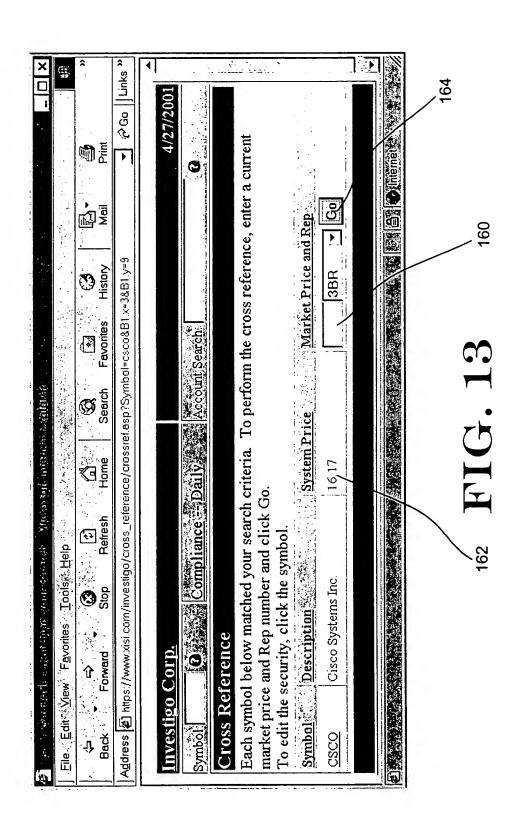
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10/2/2000	10/5/2000	Sell		RHAT	. XEG	Unsolicited Cash - 01	ash - 01	mkt 8 15 1	17 1/16	38R	
10/2/2000	10/5/2000	Huy Sell	W632319364 1	NOIZ	009	Unsolicited Cash - 01	asn 01	20 1/2 grc mkt	7 1/16	JBR 3BR	
10/2/2000	10/5/2000	Buy	W632541066 E	BETM	300	Unsolicited Cash - 01	ash - 01	market	.437.5	3AX	
10/2/2000	10/5/2000	Sell	W63Z319364	TRCR	800	Unsolicited Cash - 01	ash - 01	311/16		3BR	
10/2/2000	10/5/2000	Buy	W632669420 I	IALAX	3603.6040	Solicited	Cash - 01	market	15.54	3AX	
10/2/2000	10/5/2000	Buy	•	45168C437	1689.7030	_	Cash.01	market	13.02	3AX	Asserted to
10/2/2000	10/5/2000	Buy		OIGAX	419.81.50	Solicited	Cash - 01	0	23.82	3AX	
10/2/2000	10/5/2000	Buy		OPMSX	1635.2200	- -	Cash.01	market	15.90	3AX	
10/3/2000	10/6/2000	Buy	W636047672	ANWPX	2471.6500	Solicited	Cash-01	market	20.63	3AX 3AY	in the same
10/3/2000	10/6/2000	Sell		IVINX	1707.1350		Cash - 01	merket	36.68	3AX	
10/3/2000	10/6/2000	Sell	W636047672	220714505	52745.70	Solicited (Cash - 01	-	_	3AX	
10/3/2000	10/6/2000	Buy	W632669420	RCV A.X	1756.4400	Solicited (Cash - 01	market	17.08	3AX	
10/3/2000	10/6/2000	Buy	W632669420	OPPAX	485.7840	Solicited (Cash - 01	market	66 69	3AX	
10/3/2000	10/6/2000	Sell	W636047672	NEFDX	4282.7230	Solicited (Cash - 01	market	17.10	3AX	
10/3/2000	10/6/2000	Buy	VV636020430	a	100	Unsolicited Cash - 01	ash - 01	30.25	GTC	3AX	
	10/6/2000	Sell		ЕН	1000	Unsolicited Cash - 01	ash - 01	991	GTC	3AX	# P
10/4/2000	111/7/2011	Sell	Writenans	FKINX	7884 949fi	Solicited Cash - 01	1	market 231 3AX	231	3AX	



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FIG. 11

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Richard A. Borgman	9339	Carol J. Coen	Мах Сripe
115 Willow Ridge Run		9816 Stowaway Cove	29635 County Road 32
Monroeville, IN 46773-9339		Fort Wayne , IN 46835	Еlkhart, IN 46517
Shawn Ferro		Chris R. Herman	Wanita L. Lefever
2501 Water Run Court		04-996 County Road F50	3269 East 700 South
Highpoint, NC 27265		Edon, OH 43518	Columbia City, IN 46725
Fern K. McFadden		David A. Story	Lisa E. and Jay W. Swett
9434 Shorewood Trail		2044 East Fox Drive	311 Pytchley Run
Fort Wayne, IN 46804		Columbia City, IN 46725	Annapolis, MD 21403-1601
Dennis C. Uhrhammer 611 Pellston Drive Fort Wayne, IN 46825		Sheri N. Williams 2605 Barnhart Avenue Fort Wayne, IN 46805	



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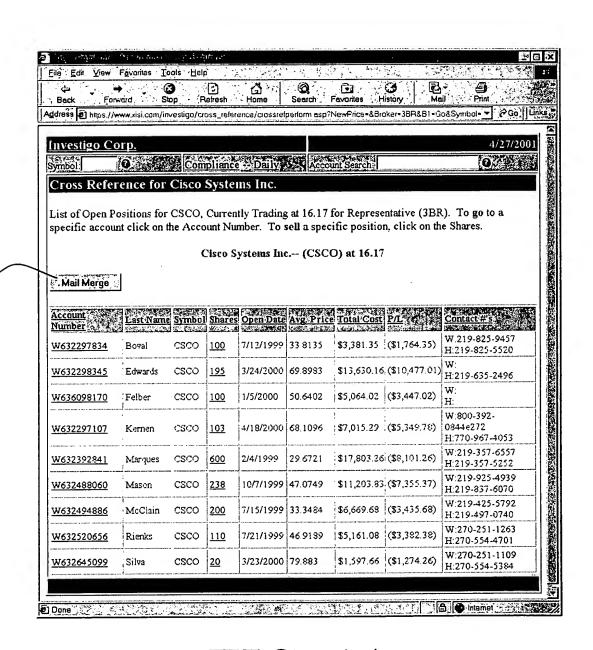


FIG. 14

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Investigo Corp.		4/2//2001	ĺ
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Friday, April 27, 2001	Announcements	4/27/2001 Dusiness ronically and	
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No appointments are on your Calendar for Today.	immediately.		
	Nav Choose to receive your monthly backup elect save \$50.	ronically and	-200
This week	Clients to contact this Month	mas Bassett ry Client hleen tripe tin Fergusson ila Gravely lliam McClain an Rineholt	
<u>22</u> <u>23</u> <u>24</u> <u>25</u> <u>26</u> <u>27</u> <u>28</u>	Table 1 Table	mas	
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+ April 2001 +		ry Client	
S M T W T E S	Diaband Cox	hleen Cripe	
1 2 3 3 4 5 6 7		tin Fergusson	
8 9 10 11 12 13 14	Pohert Gibberry She	ila	
15 16 17 18 18 20 21 22 22 24 25 76 72 27 28	<u>M.</u>	Gravely Iliam	
29 30	Votbu I I atome	McClain	
Add an Appointment	Sheila M. Nave Sus	an Rineholt	202
Start Date		rick Sievers	202
Market Color		meth Stocker 4/1/1933 4/11/1946 4/7/1947 4/10/1947	
Start Time 8:00 AM	Birthdays this Month	Mergez	
Duration 30 minutes	Wanita L. Lefever Max Cripe	4/1/1933 4/11/1946	
Title	Fern K. McFadden	4/7/1947	
. 🛕	David A. Story	4/10/1947	
Notes	Carol J. Coen	4/5/1948	1
Private?	Richard A. Borgman	4/23/1960 4/1/1961	
Add Appointment	Sheri N. Williams Chris R. Herman	4/17/1961	
A	Lisa E. and Jay W. Swett	4/23/1960 4/1/1961 4/17/1961 4/14/1966 4/3/1970 4/12/1972	ec.
TrueSync Truesyn Truesync Truesyn Truesy	Dennis C. Uhrhammer	4/3/1970	
7	Shawn Ferro		
	Kent A. Christman		į l
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FIG. 15

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Investigo Corp. Symbol	Address (2) https://www.xisi.com	n/investi	go/new_site/lookup.asp?sean			ا بئ 60
Compliance - Daily Account Search Compliance - Daily Account Search Account Isable below matched your search criteria. To go to the account, click on the Account To Delete the Account, click the trash can icon after the Telephone Number (s). Account Number Rep Primary Name Account Type (w) 219-55-1234	Investigo Corp.				4//	4/27/2001
Each account listed below matched your search criteria. To go to the account, click on the Account To Delete the Account, click the trash can icon after the Telephone Number(s). Account listed below matched your search criteria. To go to the account, click on the Account To Delete the Account, click the trash can icon after the Telephone Number(s). Account listed below matched your search criteria. To go to the account, click on the Account To Delete the Account, click the trash can icon after the Telephone Number(s). Account listed below matched your search criteria. Account type Account	(6)	Cor	pliance - Daily	Account Search	•	
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1, click the trash can icon after the Telephone Number(s) Repartment Name (3BR) Hope Client (3BR) Joseph & Mary Client (3BR) Joseph Client (3BR) Joseph & Mary Client	Each account listed bel	low ma	tched your search criter	ria. To go to the accour	it, click on the Account I	Vumber.
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(3BR) Joseph & Mary Client	JDEMO	(3BR)	Joseph Client	IRA Rollover	(w) 219-555-1234 (h) 219-555-1212	
7079 007 070	DEMO-HH	(3BR)	Joseph & Mary Client		(w) 219-555-1234 (h) 219-55-1212	
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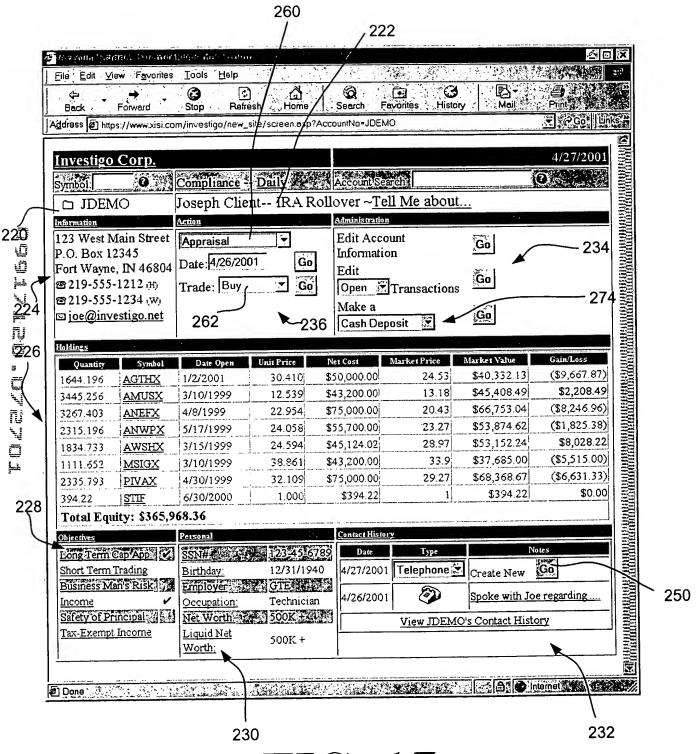


FIG. 17

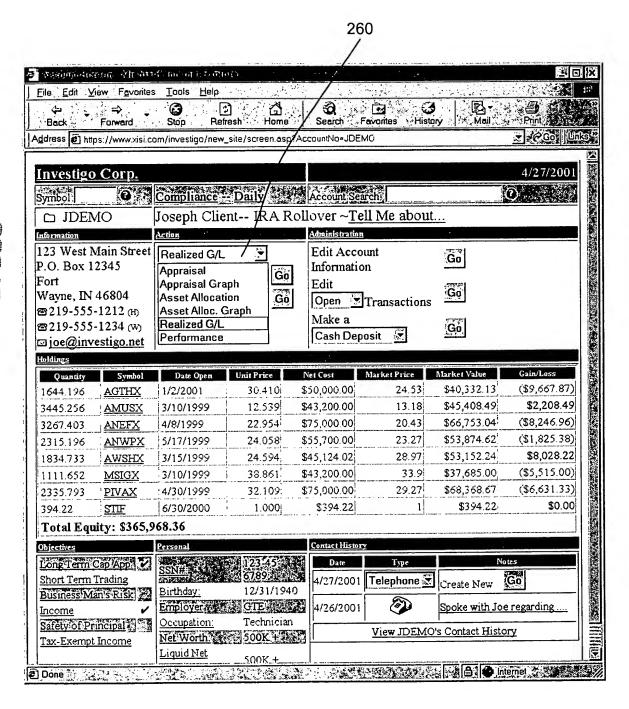


FIG. 18

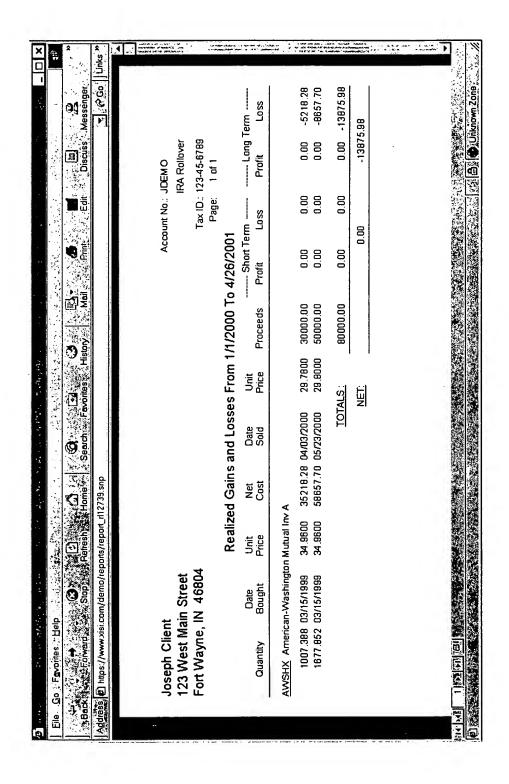
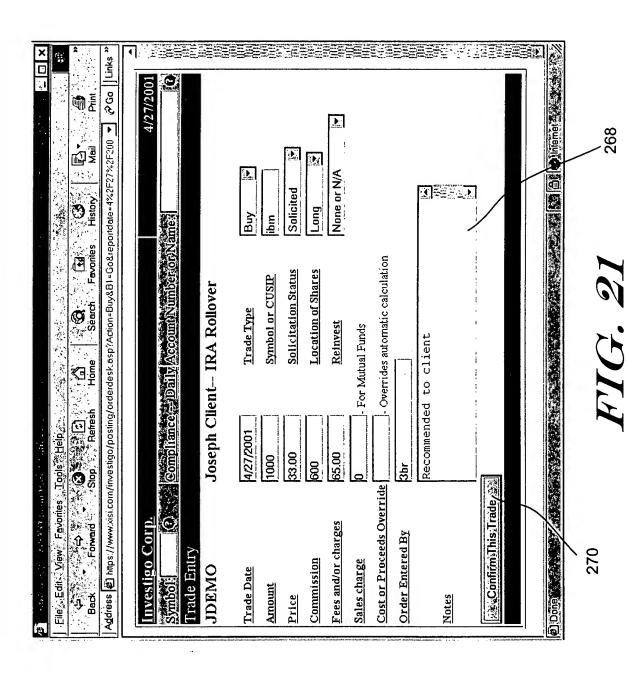


FIG. 19

(3) (3) (3) (4) (4) (4) (4) (4) (4) (4) (4) (4) (4	archi!	Joseph Client IRA Rollover ~Tell Me about	ount Go	Transactions	posit (*)	Market Price Market Value Gain/Loss	3 \$40,332.13	\$45,408.49	\$66,753.04	23.27 \$53,874.62 (\$1,825.38) 28.97 \$53.152.24 \$8.078.25	\$37,685.00	29.27 \$68,363.67 (\$6,631.33)	\$394.22 \$0.00		ζī	Type Notes	4/27/2001 Telephone T Create New Go
Search F AccountNo=JDEN	Account Search	ollover ~Tel	Edit Account Information	Edit Open	Make a Stock Deposit	Net Cost	\$50,000.00	\$43,200.00	\$75,000.00	\$55,700.00	\$43,200.00	\$75,000.00	\$394.22		Contact History	(SS) Date	
Site/screen.asp?	Gompliance⇔Dally (**	nt IRA R	[3] [1]			ovrd	30.410	12.539	22.954	24.058	38.861	32 109	1.000			(3005-45-60)	<u>Birthday:</u> 12/31/1940 Embloyers (3716-37)
Eile Edit New Favoritiss 列ooiss Helpre () () () () () () () () () (Second Parces	Joseph Clie	Appraisal	Trade: Buy	Cover	Sell Short Sell Covrd	1/2/2001	3/10/1999	4/8/1999	3/15/1999	3/10/1999	4/30/1999	6/30/2000	365,968.36	Personal	SSN#	Birthday: Employer: 3:8
lle Edit. ∑vew Fgyoritäs ⇔ ⇒ ⇒ Back Forward dress (€) https://www.xisi.co	Investigo Corp.	JDEMO	123 West Main Street P.O. Box 12345	© 219-555-1212 (H)	☑ joe@investigo.net	Symbol	AGTHX	AMUSX	ANEFX	AWWPX	MSIGX	PIVAX	STTE	Total Equity: \$365,9		Pong Termicap App. 12	Short Term Trading Businessi Manisi Rusk

FIG. 20



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yinbola <u>Goom</u> yinbola <u>Goom</u> Frade Entry	ioliance +	Account Numb	
		ent IRA	
JDEMO Jos	seph Clie		
Trade Date 4/27	4/27/2001	Trade Type	Buy
Amount 1000	0	Symbol or CUSIP	INTERNATIONAL BUSINESS MACHINES COR (IBM)
Price 33		Solicitation Status	Solicited
Commission \$600.00	00.00	Location of Shares	Long
Fees and/or charges \$65.00	00	Reinvest	None
Sales charge 0			V.
<u>Total Fees</u> \$665.00	5.00		
Total Cost \$33,	\$33,665.00		•
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FIG. 22

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	Print Edit	o5 & ►	4/27/2001	0			234						Gain/Loss	(\$9,667.87)	\$2,208.49	(\$8,246.96)	(\$1,825.38)	\$8,028.22	(\$5,515.00)	(\$6,631.33)	\$394.22 \$0.00
	ry Mail			4.00			Gō	\ \ \ \ \ \ \ \ \ \ \ \ \ \ \ \ \ \ \	Sol_277	ြိ			Market Value	\$40,332.13	\$45,408.49	\$66,753.04	\$53,874.62	\$53,152.24	\$37,685.00	\$68,368.67	\$394.22
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	Search	Address (ই) https://www.xisi.com/investigo/new_site/screen.asp?AccountNo=JDEMO		Account Search	Rollover ∼T	Administration	Edit Account Information	Edit	Open	Make a	Stock Deposit	Cash Deposit	Ne Stock Dennsit	\$5 Reinvest Option	\$43,200.00	\$75,000.00	\$55,700.00	\$45,124.02	\$43,200.00	\$75,000.00	\$394.22
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iew Favorites	Forward	os://www.xisi.co	Corp.	(O. 1	4O		Main Street 2345	e, IN 46804	-1212 (H) -1234 (H)	estigo.net			Symbol	AGTHTX	AMUSX	ANEFX	ANWPX	AWSHX	MSIGX	PIVAX	STIF
File Edit Vi	心 Back	Address 🔁 http:	Investigo Corp.	Symbol	□ JDEMO	Information	123 West Main Stree P.O. Box 12345	Fort Wayne, IN 4680	@ 219-555-1212 (H) @ 219-555-1234 (H)	☑ joe@investigo.net		Holdings	Quantity	1644.196	3445.256	3267.403	2315.196	1834.733	1111.652	2335.793	394.22 STIF

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Investigo Corp.	
Symbol: Go Compliance Daily Account Number or Name. Stock Power Entry Form	
Enter the information required below and click the submit button to generate a printable stock power form.	
Account Number JDEMO	
Date of Entry 4/27/2001	
Security Information	
Number of shares 15	
Symbol	
Stock type Common	
Certificate number(s) 12232293	
Generate Stock Power	
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280 FIG. 24	

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Address @ https:	//www.xisi.com/investigo/stock_power/stock_power_confirm.asp?account_no=JDEMO&e_date=4%2F27%2F 💆 😥 Go 🗍 Links 🤻
	IRREVOCABLE STOCK OR BOND POWER
FOR '	VALUE RECEIVED, the undersigned does (do) hereby sell, assign, and transfer to
Joseph Client	SSN#: 123-45-6789
123 West Mar Fort Wayne, I	1531
Fort wayne, 1	11 40004
If Stock,	15 shares of the Common stock of INTERNATIONAL BUSINESS MACHINES COR (ibm)
Complete	(represented by Certificate(s) No(s) 12232293 inclusive,
This Portion	(Standing in the name of the undersigned on the books of said Company.
If Bonds,	(bonds of
Complete This	(in the principal amount of \$ No(s) inclusive,
Portion	(standing in the name of the undersigned on the books of said company.
	The undersigned does (do) hereby irrevocably constitute and appoint attorney to transfer the said stock or bond(s), as the
	case may be, on the books of said Company, with full power of substitution in the premises.
Dated: 4/27/2	Substitution in the premises. 2001 D CAREFULLY this Power must corre- (s) as written upon
IMPORTANT-REA	D CAREFULLY
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Buy Price Buy Cost Delete? 25.77 \$75,000.00 \$\exists \begin{array}{ c c c c c c c c c c c c c c c c c c c
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\$0.00 27.45 \$0.00

FIG. 26

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A Carlera	Investig	Corresp	Date	4/26/200	4/11/200	2/21/200

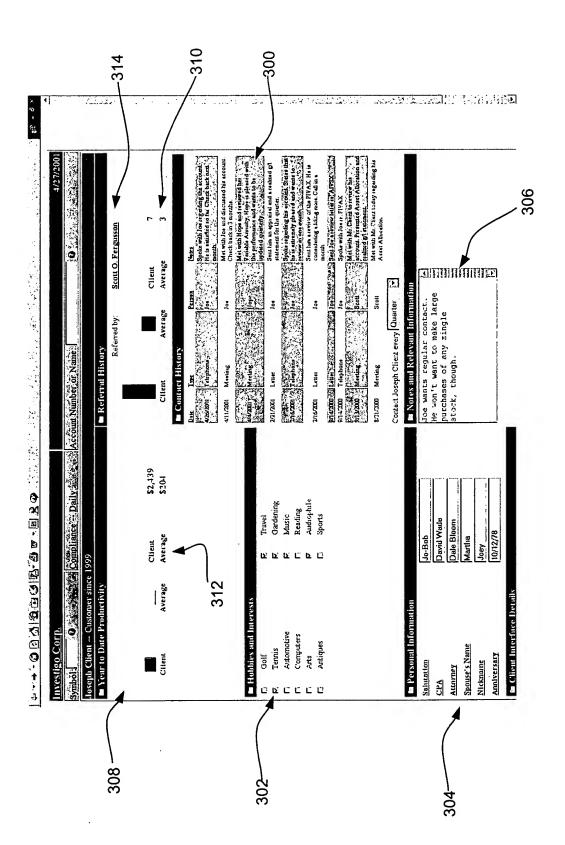


FIG. 28